06-05-01

J1049 U.S. PTO
06/04/01

J1000 U.S. PTO
09/872731
06/04/01

PTO/SB/05 (11-00)

Please type a plus sign (+) inside this box → ☐+

Approved for use through 10/31/2002. OMB 0651-0032
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	180/104/2
First Inventor	Haifan Lin
Title	See 1 in Addendum
Express Mail Label No.	EK580268392US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:
Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17) *(Submit an original and a duplicate for fee processing)*
2. ☒ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification [*Total Pages* 182] *(preferred arrangement set forth below)*
   - Descriptive title of the invention
   - Cross Reference to Related Applications
   - Statement Regarding Fed sponsored R & D
   - Reference to sequence listing, a table, or a computer program listing appendix
   - Background of the Invention
   - Brief Summary of the Invention
   - Brief Description of the Drawings (*if filed*)
   - Detailed Description
   - Claim(s)
   - Abstract of the Disclosure
4. ☒ Drawing(s) *(35 U.S.C. 113)* [*Total Sheets* 14]
5. Oath or Declaration [*Total Pages* 2]
   a. ☒ Newly executed (original or copy)
   b. ☐ Copy from a prior application (37 CFR 1.63 (d)) *(for continuation/divisional with Box 18 completed)*
      i. ☐ DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
8. Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
   a. ☒ Computer Readable Form (CRF)
   b. Specification Sequence Listing on:
      i. ☐ CD-ROM or CD-R (2 copies); or
      ii. ☒ paper
   c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement *(when there is an assignee)* ☐ Power of Attorney
11. ☐ English Translation Document *(if applicable)*
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: ....

18. If a CONTINUING APPLICATION, *check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:*

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No PCT / US99/28764

Prior application information. *Examiner* ____________ *Group Art Unit.* ____________

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ *Customer Number or Bar Code Label* (Insert Customer No. or Attach bar code label here) 25297 PATENT TRADEMARK OFFICE or ☐ *Correspondence address below*

Name					
Address					
City		*State*		*Zip Code*	
Country		*Telephone*		*Fax*	

Name (Print/Type)	Arles A. Taylor, Jr.	*Registration No. (Attorney/Agent)*	39,395
Signature	Arles A. Taylor, Jr.	*Date*	June 4, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT ($) 1543.00

Complete if Known

Application Number	
Filing Date	
First Named Inventor	Haifan Lin
Examiner Name	
Group Art Unit	
Attorney Docket No.	180/104/2

09873737 .060401

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number:

Deposit Account Name:

☐ Charge Any Additional Fee Required Under 37 CFR 1 16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1 27

2. ☒ **Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) ($)355.00

2. EXTRA CLAIM FEES

			Extra Claims		Fee from below		Fee Paid
Total Claims	97	-20** =	77	X	9	=	693
Independent Claims	12	- 3** =	9	X	40	=	360
Multiple Dependent					135	=	135

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($) 1188.00

***or number previously paid, if greater; For Reissues, see above*

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for *ex parte* reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) ____________________

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) ($) 0.00

SUBMITTED BY Complete *(if applicable)*

Name (Print/Type)	Arles A. Taylor, Jr.	*Registration No (Attorney/Agent)*	39,395	*Telephone*	(919)493-8000
Signature	Arles A. Taylor			*Date*	June 4, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO Assistant Commissioner for Patents, Washington, DC 20231.

Addendum

1. PURIFIED AND ISOLATED PIWI FAMILY GENES AND GENE PRODUCTS AND THERAPEUTIC AND SCREENING METHODS USING SAME

09873737.060401

"Express Mail" mailing number.: EK580268392US
Date of Deposit 6-4-01
I hereby certify that this paper and all papers and fees referred to herein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Commissioner of Patents, Washington, D.C.

Amy J Martin

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Haifan Lin
Group Art Unit:

Serial No.: Not Assigned
Examiner:

Filed: Herewith
Docket No.: 180/104/2

For: PURIFIED AND ISOLATED *piwi* FAMILY GENES AND GENE PRODUCTS AND THERAPEUTIC AND SCREENING METHODS USING SAME

* * * * * * * * * * * * *

STATEMENT THAT SEQUENCE LISTING AND COMPUTER READABLE COPY ARE THE SAME

Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with 37 C.F.R. § 1.821(f), applicants hereby state that the Sequence Listing information recorded in computer readable form is identical to the written Sequence Listing on paper.

Although it is believed that no fee is due, the Commissioner is hereby authorized to charge any deficiencies of payment associated with the filing of this correspondence to Deposit Account No. **50-0426**.

Respectfully submitted,

JENKINS & WILSON, P.A.

Date: June 4, 2001

By:
Arles A. Taylor, Jr.
Registration No. 39,395

Suite 1400 University Tower
3100 Tower Boulevard
Durham, North Carolina 27707
Telephone: (919) 493-8000
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180/104/2 AAT/ajm

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JENKINS & WILSON, P.A.

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JENNIFER L. SKORD
DAVID P. GLOEKLER
GREGORY A. HUNT
JOHN A. LAMERDIN, PhD. (PATENT AGENT)
DAVID P. STITZEL (PATENT AGENT)
JULIE A. BROADUS, PhD. (PATENT AGENT)
E. ERIC MILLS, P.E. (PATENT AGENT)

RALEIGH OFFICE

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920 MAIN CAMPUS DRIVE
RALEIGH, NORTH CAROLINA 27606

TELEPHONE (919) 424-3710
FACSIMILE (919) 424-3711

June 4, 2001

"Express Mail" mailing number.: EK580268392US
Date of Deposit 6-4-01
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Amy J. Martin

Commissioner for Patents
BOX PATENT APPLICATION
Washington, D.C. 20231

Re: U.S. Patent Application for PURIFIED AND ISOLATED *piwi* FAMILY GENES AND GENE PRODUCTS AND THERAPEUTIC AND SCREENING METHODS USING SAME
Our File No. 180/104/2

Sir:

Please find enclosed the following:

1. A U.S. patent application for PURIFIED AND ISOLATED *piwi* FAMILY GENES AND GENE PRODUCTS AND THERAPEUTIC AND SCREENING METHODS USING SAME (182 pages);
2. Fourteen (14) sheets of formal drawings;
3. Unexecuted Declaration (2 pages);
4. Utility Patent Application Transmittal Form (Form PTO/SB/05, 2 pages);
5. Fee Transmittal Form (Form PTO/SB/17) in duplicate;
6. Sequence Listing in paper and computer readable form;
7. Statement That Sequence Listing and Computer Readable copy are the Same;
8. A check in the amount of $1543.00 to cover the application filing fee;

9. A return-receipt postcard to be returned to our offices with the U.S. Patent and Trademark Office date stamp thereon; and

10. A Certificate of Express Mail No.: EK580268392US.

Please contact our offices if there are any questions.

Although a check is being submitted, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment associated with the filing of this correspondence to Deposit Account Number **50-0426**.

Respectfully submitted,

JENKINS & WILSON, P.A.

Arles A. Taylor, Jr.

Arles A. Taylor, Jr.
Registration No. 39,395
Customer No.: 25297

AAT/ajm

Enclosures

09873737.060401